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UNITED STATES OF AMERICA
AGENCY FOR INTERNATIONAL DEVELOPMENT

PAKISTAN EDUCATION SECTOR REFORM ASSISTANCE PROGRAM

RFA No.: Pakistan 391-02-003

Issuance Date: August 12, 2002

Deadline for Questions: August 22, 2002

Closing Date: September 13, 2002

Closing Time: 1600 hours Pakistan time

SUBJECT: Request for Applications (RFA) No. Pakistan 391-02-003
Pakistan Education Sector Reform Assistance Program

Dear Prospective Applicant:

The United States Agency for International Development (USAID) is seeking applications from qualified U.S. firms, U.S. non-governmental organizations (NGOs), private voluntary organizations (PVOs) and other organizations to implement an education program titled "Pakistan Education Sector Reform Assistance Program (ESRA)." The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

The proposed program should be designed so that its implementation will serve the common interests of both USAID and the recipient organization(s). It is probable that the program activities may strengthen the capabilities of local organizations. Accordingly, organizations with successful experience in building partnerships with indigenous organizations are encouraged to submit applications.

USAID intends to award a cooperative agreement to the responsible applicant whose application offers the **greatest value** to the U.S. Government. The Recipient will be responsible for ensuring achievement of the program objectives of the Pakistan Education Sector Reform Assistance Program. Please refer to the Program Description for a complete statement of goals and expected results of the program. Subject to the availability of funds, USAID intends to provide approximately **\$60,000,000** in total USAID funding to be allocated over a five-year period for this activity.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the assistance program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the cooperative agreement.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

- Section I - Application Format;
- Section II - Selection Criteria;
- Section III - Program Description;
- Section IV - Certifications, Assurances and Other Statements of Applicant;

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- Section II: Selection Criteria;
- Section I: Application Format;
- Section III: Program Description;
- This Cover Letter.

For the purposes of this RFA, the term "grant" is synonymous with "cooperative agreement"; "grantee" is synonymous with "recipient"; and "Grant Officer" is synonymous with "Agreement Officer."

If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA No. 391-02-003 clearly inscribed on the outside envelope, to:

*By Hand and for courier service: Maureen A. Shauket
Contracting Officer
USAID
U.S. Embassy,
Diplomatic Enclave, Ramna 5,
Islamabad, Pakistan
Telephone 92-51-2080-0000

* Due to security concerns, applicants may have difficulty submitting applications by hand. It is recommended that applicants submit applications via internationally recognized courier service. USAID and the Department of State accept no responsibility or liability for late delivery or non-delivery attributable to security precautions at the U.S. Embassy in Islamabad. Applicants are solely responsible for ensuring their applications are received on time by USAID/Pakistan. Transmission of applications or any essential part thereof by email or facsimile is not permitted.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select "Business and Procurement" from the home page, then "USAID Procurements." On the following screen, select "Download Available USAID Solicitations." It is the responsibility of the recipient of the application document to ensure that it has been received from the Internet in its entirety, as USAID bears no

responsibility for data errors resulting from transmission or conversion processes.

Any questions concerning this RFA should be submitted in writing to Maureen A. Shauket, Agreement Officer, and to Riffat Sulaiman, Acquisition Specialist, via facsimile at (880-2) 881-5050 or via Internet at mshauket@usaid.gov and rsulaiman@usaid.gov. The last date for receipt of questions or request for explanations is **August 22, 2002**. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator at (202) 712-4442. Applicants should retain for their records one copy of all enclosures that accompany their application.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. Applications are prepared and submitted at the risk of the applicant. All preparation and submission costs are at the applicant's own expense.

Thank you for your interest in USAID/Pakistan's Education Program.

Sincerely,

Maureen A. Shauket
Regional Agreement Officer

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SECTION I

COOPERATIVE AGREEMENT APPLICATION FORMAT

A.1 PREPARATION AND SUBMISSION GUIDELINES

Applicants are expected to review, understand, and comply with all aspects of this RFA. All applications received by the deadline at the location indicated on page 2 of the cover letter will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applicants are cautioned that failure to observe the RFA guidelines, including but not limited to the submission deadline, page limitations, and inclusion of prescribed program elements, may result in the application being rejected.

The application should be prepared according to the structural format set forth hereunder. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, an Agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in SECTION II.

Applicants should retain for their records one copy of the application and all enclosures, which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed herein.

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and five copies and cost portions of applications in an original and four copies.

A.2 TECHNICAL APPLICATION FORMAT

A.2.a. General Information

Applicants should review the Evaluation Criteria in SECTION II and ensure that these criteria are addressed in their applications. The technical merit of applications will be evaluated based on these criteria.

Most of the technical application submitted by the successful applicant and any agreed revisions will compose the Program Description in the Cooperative Agreement. Therefore, the technical application must be results-oriented and clearly state the planned actions and interventions proposed. The technical application must also set forth in detail the conceptual approach, methodology, and techniques for the accomplishment of the stated objectives. The RFA, SECTION III, PROGRAM DESCRIPTION has described the goals and anticipated results for the full life of the program; the applicant must propose an overall strategy for achieving the goals and results of the program and indicate how they plan to measure performance.

Applications should be kept as concise as possible and not repeat background information provided in the Program Description of the solicitation. Rather, they should build on that information, using the application as an opportunity to explain how the applicant will achieve the results USAID seeks. Detailed information should be presented only when required and should be appropriately organized and referenced as attachments. All applications should include a table of contents and page numbers.

The applicant should discuss how resources will be organized to obtain anticipated results. The applicant must discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

The length of the Technical Application shall not exceed 60 pages.

A.2.b. Technical Application Contents

The Technical Application should contain all of the elements specified in each of the sections listed below. The applicant should fully address each of these elements as it pertains to the proposed program, respecting the 60-page limit.

1. Executive Summary (Maximum 3 pages)

Provide a clear summary of what will be accomplished as well as the resources and steps required to achieve the desired results. It should provide a short synopsis of the general approach and methodologies and roles of contributing organizations, as appropriate.

2. Program Description (Maximum 35 pages)

(a) Understanding of the Education Sector (Maximum 4 pages)

Applicants should clearly describe their understanding of the education sector in Pakistan, and follow the structure set forth in the evaluation criteria.

(b) Technical Approach (Maximum 20 pages)

Applicants should clearly and concisely describe how they would implement the Education Sector Reform Assistance Program described in SECTION III. Applicants should indicate the percentage of resources that will be devoted to each of the four areas of intervention described in Section III and describe the functional linkages between the four program components.

Although the geographic focus has not been finalized, applicants may wish to present a brief discussion of the challenges perceived in the various locations and how the applicant proposes to address those challenges.

Applicants should take special care to address how they intend to engage local resources and how they will ensure continued programmatic performance in light of Pakistan's volatile security situation.

The technical approach should also address all aspects of the selection criteria set forth in Section II.

(c) Monitoring and Evaluation (Maximum 5 pages)

Applicants shall provide a summary of the monitoring and evaluation plan, describing the overall results to be achieved annually and by the

end of the program and the system to be put in place to accurately measure and report these results. Applicants should also submit a set of performance indicators that will be assessed and reported quarterly during the program to measure such attainment. These indicators will be the principal means of evaluating the recipient's success in attaining the objectives of the program. The plan should include realistic, attainable annual targets for each indicator for each year of the program. The nature and sources of data for all indicators should be specified, along with the manner in which the data will be collected. The Monitoring and Evaluation Plan should be organized according to the four program components noted in Section III, with indicators clearly linked to each objective.

(d) Mobilization and Draft First-Year Work Plan. (Maximum 4 pages)

Applications should include a mobilization schedule for program start-up and a tentative draft workplan for the first 12 months of the program. This plan should be organized according the four program components. The first-year work plan will be considered tentative and subject to revisions after award.

(e) Cost Sharing (Maximum 2 pages)

It is USAID policy to view the principle of cost sharing as an important element of the USAID-recipient relationship. Among other things, cost sharing enables USAID to mobilize additional resources for a program where USAID funding is limited. It also demonstrates the organization's commitment to the program. Although a specific level of cost share has not been pre-determined, applicants are encouraged to cost share to enhance the success of this program, and to demonstrate commitment. Applicants should take care to ensure any cost sharing they propose is realistic and feasible given their financial circumstances.

While the applicant's technical application shall only indicate the level of cost sharing (i.e., in terms of percentage), and type of cost sharing proposed (e.g., activities, personnel, backstopping, unrecovered indirect costs, etc.) The applicant's financial plan/business management application must include specific cost/budgetary information related to cost. Cost sharing includes contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. Cost sharing contributions may include volunteer services provided by professional and technical personnel. Please note that Program Income, if any, will be treated as additive to the program; it cannot be counted as cost share.

3. Management Plan (Maximum 13 pages)

The Management Plan must provide enough information to clearly describe the applicant's management approach to successfully and cost-effectively implement the program. This plan should be organized under the following sections.

USAID believes it is unlikely that any applicant working alone will be able to mobilize the full range of long- and short-term technical

assistance and institutional backup required to attain the objectives of the program.

(a) Key Personnel

USAID is designating two key personnel positions: the Chief of Party and the Deputy Chief of Party. Applicants may identify up to three additional key personnel positions. The Chief of Party will be responsible for overall program management and direction and policy dialog with USAID, the Government of Pakistan and other donors. The Deputy Chief of Party will be responsible for administering the program in full compliance with all applicable USAID regulations and for ensuring the application of sound financial management procedures by the recipient, sub-recipients and contractors.

A resume must be submitted for key personnel position, detailing the requisite qualifications and experience of the individual and at least three references, with contact information, preferably email addresses. The application must also include a signed letter of commitment from the each key personnel individual proposed. The letter of commitment must specify the length of commitment to the position. If the individual proposed is an expatriate, the commitment letter must also include an acknowledgment that Pakistan is currently a danger pay post and dependents are not allowed to accompany the employee to post.

(b) Organizational Structure

Provide a detailed overview, including an organizational chart or diagram, of the proposed organizational structure, staffing plan, and the lines of responsibility, authority and communication. The staffing plan should include an appropriate proposal to deal with the large geographic focus of the program in light of the security situation in the country. Include in the staffing plan all proposed technical and administrative personnel to be based in Islamabad, in the field at the provincial or district level, and the headquarters "home office" backstopping support. Describe the proposed structure to manage activities in the field and how the relationship will work between Islamabad-based management and field-based management. Clearly explain the structure of proposed sub-grant or contract partner relationships, both local and international, and their roles. While only key personnel are required to be identified by person, the management plan should identify which positions will be filled by expatriate and local personnel.

4. Institutional Capacity and Past Performance (Maximum 9 pages)

The application must provide evidence of the organization's technical resources, expertise and capabilities for managing and implementing this program. The information presented should clearly indicate pertinent work experience and representative accomplishments in developing and implementing education programs, especially those most similar in complexity and scale as the Pakistan Education Sector Reform Assistance Program.

(a) Institution Capacity and Experience

Please provide a concise summary of the primary applicant's organizational history, experience and representative accomplishments in developing and implementing programs similar to the program proposed in the RFA.

(b) Sub-awards

Applications shall indicate the extent of sub-recipient and sub-contract utilization intended and should clearly describe the qualifications and experience of all institutions proposed as sub-recipients or contractors under the program, as well as how the applicant plans to coordinate and manage the sub-arrangements.

(c) Past Performance

Provide a table listing all of the major U.S. Governmental and/or privately funded contracts, grants, cooperative agreements awarded to the applicant and to all proposed cooperating organizations during a three-year period from the issue date of this RFA. Include the following for each award listed:

- (a) Name of awarding organization or agency
- (b) Address of awarding organization or agency
- (c) Place of performance of services or program
- (d) Award number
- (e) Amount of award
- (f) Term of award (begin and end dates of services/program)
- (g) Current telephone number, fax number and e-mail address of a responsible technical representative of that organization or agency
- (h) Brief description of the program
- (i) Administrative and financial successes/difficulties encountered in the implementation
- (j) Statement of whether the award was completed successfully and on time. If the award was not completed successfully and on time, the applicant should so state and explain why. If the award was terminated for cause or resulted in litigation, the applicant shall so state and explain the circumstances.

Applicants shall also provide a table detailing the applicant's performance over the past five years in actually placing and retaining initially proposed key personnel in USAID projects overseas. All grants, cooperative agreements, task orders and contracts awarded to the applicant for overseas USAID projects over the three-year period ending on the issue date of this RFA that contain the provision for long-term expatriate staff should be listed, along with the number of expatriate staff initially proposed and the number and percent of those staff who were actually placed in the position overseas, proposed duration of the assignment and actual duration of the individual in the assignment. In the event that there were extenuating circumstances beyond the organizations control that prevented the placement or

continuation of the key personnel, it may be so noted in the table. The figures for individual grants, contracts, etc., should be summed and a total percentage of placement of personnel should be calculated accordingly. NOTE: Although this information will be used in scoring the technical application, it will be used by the Agreement Officer in accessing risk and in making a best value determination.

Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer shall collect and evaluate data on past performance of applicants and proposed consortium members using information provided on past programs.

A.3 COST/BUSINESS MANAGEMENT APPLICATION

The cost/business management application must be in a separate package from the technical application. There is no page limitation on the Cost Application, however, applicants are encouraged to be brief while at the same time providing all the information necessary to provide detailed analysis of the proposed costs. The cost/business management application shall contain all of the elements specified below and shall fully address each of these elements as it pertains to the proposed program.

A.3.a. Application Standard Forms

The applicant must complete and submit the following required forms, the instructions for which are included in Section E of the RFA (mark "n/a" for sections on the forms that are not applicable): SF 424, "Application for Federal Assistance," SF 424A, "Budget Information--Non-Construction Program, SF 424B, "Assurances--Non-Construction Programs. The forms may be downloaded from USAID's website:

http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424

A.3.b. Financial Plan (Budget)

The financial plan shall be fully supported by cost data adequate to establish the reasonableness of proposed costs. At a minimum, the financial plan shall contain the following: a) a summary budget page, with total costs by each cost category, b) annual budgets defined by major program activities and c) detailed budget notes and supporting justification of all proposed budget line items. The total estimated amount for each major program activity must be supported by detailed cost line items, such as personnel salaries and wages, fringe benefits, consultants, allowances, travel and transportation, per diem, training, equipment, sub-contracts/sub-agreements, other direct costs and indirect costs.

In addition, the following points should be taken into consideration in developing and presenting the financial plan:

- (a) The financial plan should include the name, annual salary, fringe benefits and expected level of effort of each staff person which

the applicant proposes to charge to the Cooperative Agreement, in the event it is the successful awardee.

- (b) If not included in the indirect cost rate agreement negotiated with the U.S. Government, the applicant must specify the applicable fringe benefit rates for each category of employees, and benefits included in the rate(s).
- (c) With respect to consultants that the applicant expects to employ, the applicant shall provide all the same information as is required to be provided with respect to regular personnel.
- (d) Any and all salaries, benefits and allowances proposed to be paid under this Cooperative Agreement must be in accordance with written organizational compensation policies of the employer and must be in accordance with across-the-board practices of the employer, not specific to this Cooperative Agreement. Allowances proposed to be paid must be identified both by the type(s) of allowance proposed to be paid and the specific individuals to which the allowance(s) will be paid.
- (e) Other direct costs such as visas, passports and other general costs shall be separate cost line items.
- (f) Travel, per diem and other transportation expenses shall be detailed in the financial plan, including the number of international trips, from where to where, number of days per diem and rates. Per diem and other travel allowances must be based on written travel policies of the employer organization that are applied across-the-board and are not specific to this Cooperative Agreement.
- (g) No fee or profit is awarded under assistance instruments. Therefore, no fee or profit shall be paid under this Cooperative Agreement.
- (h) The applicant shall detail home office support that is to be provided and any charges attributable thereto.
- (i) The applicant shall provide specific budget details and narrative information, in addition to the percentage and total dollar amount, for proposed cost sharing. Cost sharing, once accepted, becomes a condition of payment of the federal share.

A.4 CERTIFICATES, ASSURANCES AND OTHER INFORMATION

Section IV of the RFA, which requests the following information and certifications, must be fully completed and signed by a duly authorized official of the applicant's organization:

- (a) Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs;
- (b) Certificate Regarding Debarment, Suspension and Other Responsibility Matters - Primary Covered Transactions;
- (c) Certificate Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -Lower Tier Transactions;
- (d) Certification Regarding Drug-Free Workplace Requirements;
- (e) Restrictions on Lobbying;

- (f) Authorized Negotiators;
- (g) Taxpayer Identification Number;
- (h) Dun & Bradstreet Numbering System (DUNS No.) (if the applicant's organization already has a DUNS number);
- (i) Letter of Credit Number, if applicable;
- (j) Type of Organization; and
- (k) Agreement on Agreement Terms and Conditions.

A.5 CLARIFICATIONS

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by **August 22, 2002**, to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of an Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

A.6 AGREEMENT AWARD

The Government may award one or more Agreements resulting from this RFA to the responsible applicant(s) whose application conforming to this RFA offers the greatest value (see also SECTION II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see SECTION II, SELECTION CRITERIA), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

The Government may award an Agreement on the basis of initial applications received, without discussions of proposed services or budgets. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding Agreement without further action by either party. Before the application's specified expiration time, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

END OF SECTION I

SECTION II

SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the technical standard against which all applications will be evaluated.

All applications which meet the eligibility and program requirements, and conform to the application preparation and submission requirements will be reviewed and scored by a technical evaluation committee in conformity with the evaluation criteria set forth in this section. The technical review panel will use the criteria set forth below to evaluate the qualifications and applications presented by prospective recipients. It is essential that the application provide information and discussion sufficient to draw a reasoned conclusion about the strength of the application with respect to each criterion. Failure to do so will disadvantage the application and may result in the application being rejected. Points will be awarded using the following criteria according to the judgement of the technical review panel on the absolute and relative merits of each application.

Evaluation criteria are presented below by category, so that applicants will know which areas require emphasis in the preparation of applications. The technical evaluation criteria are significantly more important than cost. However, the applicant's proposed cost share will be evaluated and rated, and, as stated below, cost effectiveness will be considered in making a best value award decision.

A. EVALUATION CRITERIA

A.1 Program Description

A.1.a. Understanding (Maximum 5 Points)

- Extent to which proposal demonstrates understanding of current education environment in Pakistan.
- Extent to which proposal demonstrates understanding of the reasons for failure of past education improvement and reform programs in Pakistan.

A.1.b. Technical Approach (30 Points)

- Proposed approach is innovative, well-conceived, technically sound and ambitious yet feasible to achieve all the objectives and special considerations identified in this RFA;
- Appropriateness of the suggested approach (es), and how the proposed activities will contribute to meeting the objectives;
- Degree to which the proposal recognizes and utilizes new opportunities presented by devolution plan and openness of all

stakeholders to new approaches.

- Approach indicates familiarity with recent promising approaches from Pakistan and elsewhere in the world and incorporates and builds on these where possible.
- Extent to which gender and gender issues are meaningfully identified and addressed, including plans to ensure attention to such issues during implementation of the award;
- Appropriate balance between the four program areas and extent to which the overall approach linking these four components will achieve the proposed results at the end of the program.
- Approaches for partnering with the GOP, other donors, USAID and other USAID partners are realistic, efficient, and will effectively achieve a productive working relationship which will allow for flexible coordination during the life of program.
- Program design adequately addresses continuity and security concerns.

A.1.c. Monitoring and Evaluation (15 Points)

Clarity, appropriateness and soundness of an illustrative Performance Monitoring and Evaluation Plan which addresses following:

- Preliminary identification of indicators to be used in measurement of program success
- Identification of baseline data against which progress will be measured and strategy for its collection with particular emphasis on the problematic area of student learning.
- Identification of expected intermediate and final results of the program.
- Completeness of the proposed plan for addressing gender concerns, including but not limited to desegregated data collection and the appropriateness of the approach to the Pakistan context

A.2 Management Plan (Maximum 30 points)

A.2.a. Key Personnel (Maximum 15 points)

- Experience of key personnel in managing complex programs, particularly in transitional countries; his/her experience in building and effectively supervising a diverse team of employees; his/her expertise in education programming writ large; demonstrated effective interpersonal skills, creative problem-solving and ethical management; and relevant prior experience in working with USAID and/or other international donors in Pakistan or similar operating environments.

- Extent to which the key personnel positions are appropriate and match the key personnel needs of the program.

A.2.b. Organizational Structure (Maximum 15 points)

- Appropriateness of the composition and organizational structure of the project team, including lead and associated organizations.
- Extent to which the proposed structure is adequate to implement the proposed program.
- Appropriate mix of expatriate and local staff to effectively manage field-based activities, and is cost-effectively using sub-agreements.

A.3. Institutional Capacity (Maximum 10 points)

- Relevant and demonstrated experience and organizational knowledge, capability and experience of the lead organization in education programming and managing community based education programs.
- Sub-awards: Institutional capability of proposed implementing-partner sub-recipients and contractors.
- Previous experience in successfully implementing complex field operations, especially in countries where USAID has no physical presence.

A.4. Past Performance (Maximum 10 points)

- Past performance in developing and implementing education programs.
- Past performance in implementing approaches similar to that proposed.
- Past performance in providing and retaining proposed key personnel

B. AWARD DECISION

Following the review of the applications, the technical panel will report its conclusions to the Agreement Officer. Applicants who, in the opinion of the Agreement Officer, have no realistic chance of winning the award will be notified by letter that their application has been unsuccessful. If deemed necessary or useful by USAID, USAID may enter into discussions with one or more of the remaining applicants. Discussions may relate to programmatic features, cost issues, or both. The entry into discussions is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the applicant with whom discussions are being held. USAID reserves the right to make an award without discussions.

The Agreement Officer will make the final determination regarding award of the agreement, based on an integrated assessment of technical merit, cost effectiveness, cost sharing, risk and other factors.

END SECTION II

SECTION III PROGRAM DESCRIPTION

Pakistan Education Sector Reform Assistance Program

I. Program Purpose

USAID will contribute to Pakistan's Education Reform Assistance Program and thus promote equality, stability, economic growth, and improved well-being of Pakistani families. Investment in basic education supports faster, and more equitable economic growth, progress in reducing poverty, and lower birth rates. Support for improved education of girls and women also leads to improved family health, enhanced agricultural productivity and higher education attainment for boys as well. The purpose of this RFA is to solicit applications for implementing a four-year, \$60 million education program.

II. Background

Status of Education in Pakistan

There are approximately 18 million children between the ages of five and nine in Pakistan. This is the target group for primary education. Net enrollment rates¹ for this group of children are 66 percent; of these children, about 11.8 million actually get enrolled in school, and of these, approximately 6 million will complete the 5th grade. Factoring in teacher and student absences, on any given day less than half of the school eligible children are in school. With an annual population growth rate of 3.1 percent, this age group is expanding each year putting additional pressure on the government's education system.

Pakistan today has about 235,000 primary schools. This number includes about 170,000 government schools, an estimated 27,000 mosque schools (*madrassahs*) and 36,000 private schools. Approximately 80 percent of the enrolled children attend government schools. The remaining 20 percent attend either *madrassahs* or private schools.

Indicators for literacy, enrollment and retention demonstrate the dire need for systemic reform. Nationwide, the average literacy rate is 47 percent². However, this figure masks the wide gap between male (61 percent) and female (37 percent) literacy. Male children attend an average of 3.8 years of school while female children receive an average of only 1.3 years of schooling, further underlining the gender disparity in the Pakistan education system. Approximately 22 percent of boys and 50 percent of girls never even enter school, and of those

¹ Net enrolment rates only include enrolment for the age group corresponding to the official school age of primary education.

² Literacy nationwide is listed officially at 47 percent, but most experts believe actually literacy rates to be about 37 percent. In most rural areas, female literacy is under ten percent, and less than five percent in large expanses of Balochistan and the Northwest Frontier provinces, the Federally Administered Tribal Areas and Azad Jammu Kashmir in northern Pakistan.

that do, 44 percent of the boys and 56 percent of the girls drop out before the 5th grade. Only 29 percent of children who enter school make it to the secondary school level. The poor performance of the education system stems from a number of factors: poor teacher training; little, if any, in-service teaching skills development; hiring of teachers through patronage; teacher absenteeism; rote memorization and the stultifying dullness of the existing curricula; and limited access to schools (especially for girls and women).

Summary of Donor Activities in Pakistan: 1992 - 2002

While many international, donor/lender organizations are working in Pakistan, the Asian Development Bank (ADB) and the World Bank (WB) are most prominent besides USAID. The centerpiece of Pakistan's past development effort was the Social Action Program (SAP). As initially envisioned, the GOP was to provide an estimated 90% of the funding with the remaining 10% by the donor community. This program was recently cancelled. The following table summarizes donor activities in the education sector over a ten-year period, from 1992 through 2002.

Organization	Funding in millions (\$)	Timeframe	Geographic Areas	Programmatic Focus
World Bank ³	22.8	Not Specified	NWFP/FATA	Infrastructure/improving c of education
	40.0	5 years	Not specified	Innovation and assessment
SAP	117./250.	Not Specified	Not Specified	National education assessment/financial mgt. Systems
Asian Development Bank '92- '00	275. (of which 200. was routed thru SAP) 75.	6-8 years future project	Not Specified Not Specified	Middle school/teacher training/second girls prim school/second science education/technical educat Curriculum, devolution, di reform, capacity building teacher training.
European Union '92-'02	71. (of which 35. was routed thru SAP)	10 years	Not Specified	Not Specified
Norwegian Assistance (NORAD)	4.2	Activities concluded 2001	NWFP/Si	Textbooks, supplies/teache training and development/p education and research
Canadian Aid	15.	Not Specified	Not Specified	University linkage, financ schools in tribal areas ar technical education.
Aga Khan				
United Kingdom DFID	7.5 per year (1.5 additional in kind contribution)	Not Specified	NWFP, AJK, Sindh and Punjab	Scholarships, lecturers, management, quality issues devolution
Netherlands		For the past 6 years	Balochistan	1. PKIP & EHIPProject 2. Improving quality
Germany '96-'02	2.5 6.5	6 years	NWFP NWFP	Tech assistance for school construction. Textbook development
GTZ				

Government of Pakistan's Devolution Plan

The Government of Pakistan (GOP) has embarked on a promising and exciting process of reform, sparked by the comprehensive Plan for Devolution and Decentralization, which formally took effect on August 14, 2001. It is one of the most dramatic, ambitious, peaceful, and democratic reforms attempted in any country in recent years, and particularly in a nation as large and complex as Pakistan. Inherent in it are wholesale alterations in expectations and responsibilities, and philosophical, attitudinal and practical changes in the ways levels of government in Pakistan carry out their duties and how governments relate to the populace, and vice versa.

³ The World Bank has a long and extensive relationship with the Government of Pakistan, and is one of the largest donors in the education sector. The major efforts of the bank have been closely tied to the SAP, where \$250 million has been committed and \$117 million has been disbursed. In addition to activities specified below, WB has future plans to work with the AJK on national educational assessments and financial management systems.

Large portions of authority and responsibility are now delegated to lower, more invigorated levels of government. Pakistan's four provinces, the Islamabad Capital Territory (ICT), the Federally-Administered Tribal Areas (FATA) and Jammu Kashmir will be affected by this devolution process. The district and sub-district levels of government will have greatly enhanced power and fiscal responsibilities, be they dealing with agriculture, education, health and the other sectors of development. Each of the country's 106 districts will now have a new office of literacy, to reinforce the fact that a higher literacy level is one of the highest national priorities. Within the 106 districts, roughly equivalent to counties in the United States, there are 6,026 union councils that, for the first time, will have committees for education, health, agriculture, public works and other areas. Local schools will fall under the administration of these union council committees. It is anticipated that the devolution process will help address issues of teacher and school administration accountability and support an overall improvement in the performance of the public education system.

III. The Government of Pakistan's Education Reform Strategy

The Government of Pakistan (GOP) recognizes that the public education system has failed to meet the country's needs. In response, the GOP has developed an ambitious Education Sector Reform (ESR) plan to: (1) Promote quality education, enabling all citizens to reach maximum potential; (2) Produce responsible, enlightened and skilled citizens; and (3) Integrate Pakistan into the global framework of human-centered economic development. The ESR plan for 2001 - 2004 outlines seven principle objectives:

1. Increase the national average literacy rate from 47 percent to 62 percent. This means that 13.5 million people ages ten and older must become literate in the next four years.
2. Provide "education for all." Quality universal primary education for all to increase participation in primary/elementary education, increase completion rates and reduce the gender disparity. Specific targets include:
 - Increase gross participation in elementary school from 89 percent to 100 percent by 2004.
 - Reduce gender disparity in education by 10 percent annually.
 - Improve primary school completion rate from 50 percent to 70 percent by 2004.
3. Improve the quality of education through curriculum reform, teacher education and training, and reform of the exam and assessment process.
4. Improve technical and vocational education at the secondary and post secondary levels. The objective is to impart education together with skills so that the matriculates and diploma holders may be absorbed by the local industry and services.

5. Strengthen the higher education system in Pakistan. The target is to increase access to higher education opportunities by ten percent annually, and double enrollment (from 100,000 to 200,000) in universities within the next four years.
6. Mainstream the *madrassahs* into Pakistan's general education system. Plans include: (a) activating the Pakistan Madrassah Education Board; (b) expanding the curriculum used by the *madrassahs* to encompass modern courses in science, math, economics, English, Pakistan Studies, and computer education, (c) training *madrassah* teachers to teach these subjects; and (d) certifying qualified *madrassahs* to provide general education subjects and qualify for equivalence of their degrees/certificates by the Pakistan Madrassah Education Board.
7. Expand public-private partnerships in education in order to increase access to quality education at all levels and to meet the demand for education. Specific targets are to encourage the private sector and NGO community to support at least 16,000 underutilized schools and to introduce at least 10,000 new information technology courses by 2004.

For more information on the ESR plan, please go to
<http://www.education.gov.pk/moe-reform.htm>.

IV. USAID and Government of Pakistan Collaboration in the Education Sector

In early August 2002, USAID and the Government of Pakistan entered into a Strategic Objective Grant Agreement (SOAG) for Education Sector Reform Support Program. The SOAG runs through September 2006 through which USAID has made a \$100 million commitment to support education sector reform in Pakistan. The SOAG details the strategic objective, expected results, and geographic focus of the collaborative education sector reform program. Specifics of the SOAG, may be found at <http://www.usaid.gov/bd/proposals.html>

V. USAID Education Sector Reform Assistance Program

USAID's Education Sector Reform Assistance (ESRA) program is a \$60 million four-year effort designed to provide support at both the policy and classroom levels to improve the quality and availability of primary education. This program is intended to support altered attitudes and behaviors, improved practices and positive changes in basic education for Pakistani children and adults, all as part of the GOP's Education Sector Reform. While the specific program activities will need to adapt to the dynamic environment in Pakistan, the program will support the GOP's Education Sector reform program in four specific areas - teacher and administrator training, private-public partnerships, education reform and innovation, and youth and adult literacy.

USAID has entered into agreements with the Aga Khan Foundation (AKF) and Private Agencies Participating Together (PACT) in collaboration with Children's Resource International (CRI) to develop

and carry out initial programs focused on early childhood learning. These efforts are aimed at establishing new, inquiry-based teaching methods that inculcate fundamentally democratic practices and attitudes among children and educators and draw families into the life of the school communities. The training and technical assistance provided by these organizations respond to three of the GOP's Education Sector Reform: quality improvement, sector-wide reform, and resource mobilization and are designed to be integrated with the decentralization and devolution of authority and responsibilities.

Activities funded under the ESRA program will complement activities being conducted by AKF, PACT/CRI and other USAID partners. Funding is estimated to be \$15 million per year and will focus on the four areas specified below (Approximate percentages for the four areas are indicated below.)

1. **Strengthen Education Sector Policy and Planning (25%):** Assist the GOP and provinces to strengthen the national and local capacity to use experiences gained in Pakistan and other countries to improve education sector policies and plan and implement better primary education programs. This effort would involve helping the GOP to improve the content and implementation of government policies and planning for primary education (with particular emphasis on expanding access to education for girls) as well as literacy for adults (especially women) and out-of-school youth. New, innovative pilot and demonstration-type projects are expected to form a key basis for enhanced educational policies and reform at the district, provincial and federal levels, particularly those which increase a sense of accountability at all levels. Experiments that build on the opportunities and local discretion created by the devolution program will figure prominently in this. In summary, the GOP and Pakistani people want change, accountability and reform in their educational system. USAID and its partners must help them achieve that.
2. **Improve the Capacity of Teachers and Education Administrators(30%):** Provide training to both school teachers and administrators to improve the quality of both public and private sector education. Specific targets include training 43,000 primary school teachers, especially female teachers, through existing teacher training institutes and other mechanisms. Train key administrators (e.g., principals, local education officials) to improve policy and planning implementation and successful adoption of higher education standards and curriculum. Specific targets are to train 4,500 local education officials and 5,200 school principals to assume their new responsibilities resulting from decentralization.

USAID welcomes the involvement of high quality, practicing teachers in this program. Actual teachers who have the energy, creativity and at least several years of experience in classrooms can be invaluable in helping design and working side-by-side with Pakistani educators on such aspects as alternative teaching methodologies, means of infusing inquiry and critical thinking skills into the primary school curriculum, how to promote peer-group learning, the building and use of inexpensive teaching materials, using the

natural environment to teach science, and ways to involve parents in their children's education.

3. **Improve Youth and Adult Literacy (15%):** Most federal and provincial educators in Pakistan admit that past literacy campaigns have failed. Under the devolution plan, literacy offices will be established in each of Pakistan's 97 districts. USAID recognizes the complexity of the literacy issues, and all indications are that literacy alone, and in and of itself, will not work well in Pakistan. Based on conversations with Pakistani provincial and federal officials, USAID believes it can make a contribution to improvements in literacy in two areas: (1) strengthening the managerial and administrative capacity of the [National Literacy Commission] and some of the selected new district literacy offices; and (2) analyzing and testing the use of technology for distance education focused on literacy training. USAID could also consider limited use of appropriate technology to link some of the federal and provincial literacy offices could bring administrative and learning benefits.
4. **Expand Public-Private Partnerships to Improve Access and Delivery of Education Services (30%):** USAID will build upon its past experiences working with NGOs in Pakistan to encourage and support public-private partnerships that: (a) enhance resources available for education and literacy programs; (b) strengthen community involvement in primary education and adult and youth literacy programs; (c) expand access to education for girls; (d) improve education quality; and (e) facilitate development of skills need for a developing economy and society. Specific activities could take several forms. For example; organizing parent/teacher associations to work with communities to improve physical infrastructure and teacher accountability as well as increase attendance by girls in primary schools; experimenting with public assistance to non-government education providers, possibly through matching grants, per child subsidies or vouchers; working with and strengthening the National Education Foundation (NEF) and the four provincial education foundations to expand and improve the delivery of private sector support for public schools and vice versa.

Applicants should also assess the role that public-private partnerships in education can play in generating greater private sector investment for Information Communication Technologies (ICTs) to support education reform efforts. This effort should include a preliminary assessment of the role of ICTs in supporting relevant components of the overall program such as distance learning and teacher training.

Objective Indicators: For each of the four sub-objectives, applicants should identify indicators that will be used to establish quantitative and qualitative, baseline information and track progress in each of them. In addition, the following gender disaggregated indicators will be used to monitor progress in terms of the GOP's and USAID's overall program objectives:

- Improved net and gross primary school enrollment, dropout, repetition and completion rates in targeted schools.

- Improved learning in the classroom
- Increased numbers of teachers, education officials and school principals trained and utilizing their new skills.
- Enhanced public-private partnerships for education service delivery
- Increased literacy rate
- Gender disparities reduced

V. Program Approach, Management Provisions, Donor Activities and Geographic Focus

Approach: USAID expects the ESRA program to be flexibly designed to respond quickly and effectively to a dynamic environment. Applicants are expected to design a cost effective program that will maximize the use of locally available talent and resources. In addition, applicants are expected to design the program in a manner that will focus on the achievement of results by ensuring continuity of program implementation during fluid security situations throughout the country.

USAID presence in Pakistan: In July 2002, USAID re-established a Mission in Islamabad to oversee its programs in Pakistan. This and other USAID-supported programs make USAID one of the largest international organizations assisting education development and reform in Pakistan.

Security Situation: Islamabad is in ordered departure status, and all family members have been evacuated. There is a possibility that Pakistan will become an unaccompanied post. Islamabad has a 25 percent post differential, and 25 percent danger pay.

Donor Coordination: The recipient is expected to collaborate closely with AKF and PACT/CRI, other USAID partners, and donor organizations working the education sector.

Geographic Focus: The GOP has asked USAID to consider a nationwide approach in selecting districts in each province to target for work at the local level. USAID has agreed to this request, the specifics of which may be found in the SOAG. USAID expects the recipient to consult with the GOP, provincial, district and local officials and, if relevant, NGOs and citizens' groups, and other international donor/lender organizations prior to selecting focus districts. USAID reserves the right to approve the geographic locations prior to commencement of work by the recipient.

END SECTION III

SECTION IV

PART I

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

- (3) For applicants/grantees other than individuals, Alternate I applies.
- (4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

- (1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D) 1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required

to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be

subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification is required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

6. CERTIFICATION REGARDING RESEARCH INVOLVING HUMAN SUBJECTS

(a) The recipient certifies that the grant [] will [] will not include research involving human subjects.

(b) If the recipient certifies that the grant will include research involving human subjects in paragraph (a) above, the recipient further certifies that it has a review committee which has reviewed and approved the proposed research, and must submit: (1) a written statement of compliance with the requirements of 45 CFR Part 46 regarding initial and continuing review of research involving human subjects; and (2) a description of the applicant's/grantee's review committee structure, its review procedures, and the facilities and personnel available to protect the health and safety of human subjects.

(c) If the recipient certified that the grant will include research involving human subjects in paragraph (a) above, the recipient further certifies that the research [] will [] will not involve studies in the U.S. with unmarketed drugs.

(d) If the recipient certified that the research will involve studies in the U.S. with unmarketed drugs in paragraph (c) above, the recipient further certifies that either [] the Food and Drug Administration has waived the requirement of 21 CFR Subpart 312.1(a) for a 30-day interval, or [] the required 30-day interval has elapsed, and the Food and Drug Administration has not requested the recipient to limit the use of such drugs.

7. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

<u>Name</u>	<u>Title</u>	<u>Telephone No.</u>	<u>Facsimile No.</u>
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8. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the applicant's/grantee's TIN:

TIN: _____

9. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at

<http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

10. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

11. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant \$_____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment, which would require the approval of the Grant Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Grant Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly

to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Source of Goods</u>	<u>Probable Components</u>	<u>Origin of Goods</u>
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(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Intended Use</u>	<u>Probable Source</u>	<u>Origin</u>
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Supplier Nationality (Non-U.S. Only)</u>	<u>Rationale for non-U.S.</u>
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(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds,

whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>Proposed</u>
<u>Disposition</u>			

12. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Grant Officer or other contact person.

13. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of _____, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a U.S. entity, it ☐ is, ☐ is not a Gray Amendment entity, as defined below.

(c) If the recipient is a Gray Amendment Entity, it is ☐ a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101), ☐ an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU), ☐ a college or university having a student body in which more than 40% of the students are Hispanic American, or ☐ a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).

(d) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

14. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

15. AGREEMENT ON GRANT TERMS AND CONDITIONS

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal_____

Name of Recipient_____

Typed Name and Title_____

Signature_____

Date_____

Part II

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. ^{1/} You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," ^{2/} without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

^{1/} See ADS Chapter 303, 22 CFR 208.

^{2/} For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S.

nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary
Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

Date _____

END OF SECTION IV
END OF RFA